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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Alan KATHMAN, et al.

Serial No. 10/661,771

Filed: September 15, 2003

For: INTEGRATED WAVELENGTH LOCKER FOR  
USE WITH MORE THAN ONE WAVELENGTH  
AND ASSOCIATED METHODS



Art Unit: 2828

Examiner: Armando RODRIGUEZ

Confirmation No. 7279

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §1.56**

Mail Stop: AMENDMENT  
Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB08 (A and/or B) is a listing of a document(s) known to applicant in order to comply with applicant's duty of disclosure pursuant to 37 C.F.R. §1.56.

Insofar as these references correspond to the art cited during prosecution of parent applications Serial No. 09/543,760, having a filing date of April 5, 2000, and PCT application PCT/US01/21272, having a filing date of July 6, 2001, on which applicant rely under 35 U.S.C. 120, copies of the references need not be submitted; 37 C.F.R. §1.98(d)(1).

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application. Applicant does not waive any rights to take any action that would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

Where available, copies of English language patent family members of non-English patent documents have been provided. Such submission of English language patent family members is for the convenience of the Office and is not to be construed as an indication that such English language patent family members are literal translations of the non-English patents.

Applicant(s) expressly reserve their right to file verified English translations of the non-English patent documents.

☐ The listed document(s) is/are being cited in compliance with 37 C.F.R. 1.97(b)(3): submission before the mailing date of the first action on the merits. [Box checked if applicable.]

☒ The foregoing document(s) came to applicant's attention during the prosecution of their related U.S. application Serial No. 09/543,760, PCT/US01/21272, and/or PCT/US/11038.

☒ Copies of each of the PCT Search Reports are also attached. [Box(es) checked if applicable.]

#### CERTIFICATION

☐ The undersigned hereby certifies in accordance with 37 CFR §1.97(e)(1) that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Statement. [Box checked if applicable.]

\* \* \*

Applicant respectfully requests that the listed document(s) be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

\* \* \*

#### FEE PAYMENT

☒ The fee mandated by 37 C.F.R. §1.17(p) is believed applicable. [Box checked if applicable.]

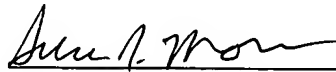
☐ Attached is Form PTO-2038 in payment of this fee (\$180.00). [Box checked if applicable.]

☒ This fee may be charged to Deposit Account No. 50-1364. (A duplicate copy of this paper is enclosed.) [Box checked if applicable.]

Respectfully submitted,

December 30, 2005

Date



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Substitute for form 1449/PTO

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|                        |                      |
|------------------------|----------------------|
| Application Number     | 10/661,771           |
| Filing Date            | September 15, 2003   |
| First Named Inventor   | Alan KATHMAN, et al. |
| Art Unit               | 2828                 |
| Examiner Name          | Armando RODRIGUEZ    |
| Attorney Docket Number | 280/059 CIP I        |

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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**U. S. PATENT DOCUMENTS**

| Examiner Initials <sup>6</sup> | Cite No. <sup>1</sup> | Document Number<br>Number-Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------------------|-----------------------|---|--------------------------------|--|---|
|                                | 1                     | 5,428,700   | 06-27-1995                     | HALL   |   |
|                                | 2                     | 5,666,225   | 09-09-1997                     | COLBOURNE  |   |
|                                | 3                     | 5,784,507   | 07-21-1998                     | HOLM-KENNEDY, et al.                               |   |
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|                                | 8                     | 6,005,995   | 12-21-1999                     | CHEN, et al.                                       |   |
|                                | 9                     | 6,043,883   | 03-28-2000                     | LECKEL, et al.                                     |   |
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|                                | 14                    | 2002/0041562 A1   | 04-11-2002                     | REDMOND, et al.                                    |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials <sup>6</sup> | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
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|  | 15 | EP 0 875 743 | 11-04-1997 | LECKEL, et al.    |  |
|  | 16 | EP 0 911 621 | 04-28-1999 | FUKUSHIMA         |  |
|  | 17 | EP 1 052 526 | 11-15-2000 | BYLSMA, et al.    |  |
|  | 18 | WO 95/20144  | 07-27-1995 | PRATT             |  |
|  | 19 | WO 97/05679  | 02-13-1997 | COLBOURNE, et al. |  |
|  | 20 | WO 98/43327  | 10-01-1998 | AURACHER, et al.  |  |
|  | 21 | WO 99/04466  | 01-28-1999 | COPNER, et al.    |  |
|  | 22 | WO 99/18612  | 04-15-1999 | HARDEN, et al.    |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

<sup>6</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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| Attorney Docket Number | 280-059 CIP 1        |

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| 1/4 Sheet | 2 | of | 2 |
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**NON PATENT LITERATURE DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|--------------------|-----------------------|---|----------------|
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|  | 23 | Patent Abstracts of Japan, Vol. 013, No. 507 (E-845), 14 November 1989 & JP 01 205486 A (Hitachi Electron Eng Co Ltd), 17 August 1989, Abstract |  |
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|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.